Asia 10-182 India IEE ~ ETD Partnership for Cand use Science (FOREST-(LUS)



INITIAL ENVIRONMENT EXAMINATION (IEE)

PROGRAM ACTIVITY DATA

Program/Activity Title:

Partnership for Land Use Science (Forest-

PLUS)

Program Objective:

4 Economic Growth

Program Area:

4.8 Environment

Programs Elements:

4.8.2 Clean Productive Environment

Country/Region:

India

Begin Date:

October 2010

End Date:

September 2014

LOP Amount:

\$25 million

IEE Prepared By:

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Date:

July 29, 2010

ENVIRONMENTAL ACTION RECOMEMENDED:

Categorical Exclusion : (X)
Deferral : ()
Positive Determination : ()
Negative Determination : (X)
With Conditions : (X)
Exemption : ()

SUMMARY OF FINDINGS:

Pursuant to 22 CFR 216.2(a), environmental analysis/evaluation is required for new projects, programs or activities authorized by USAID. This IEE evaluates activities planned under USAID/India's Partnership for Land Use Science (Forest-PLUS) Program.

Recommended action

a) Recommended Action: Categorical Exclusion: Pursuant to 22 CFR 216.2(c)(2)(i), the originator of the activities has determined that "core" program activities under all Program's components (Section 1 and 2 of Table), which includes technical assistance,

training, analyses and studies, information dissemination, and other similar types of environmentally neutral actions consist of types of interventions entirely within the categories listed in 216.2(c)(2) and are therefore recommended to be categorically excluded by falling under the following classes of actions:

- Controlled experimentation exclusively for the purpose of research and field evaluation which are confined to small areas and carefully monitored (22 CFR 216.2(c)(2)(ii));
- Analyses, studies, academic or research workshops and meetings (22 CFR 216.2(c)(2)(iii));
- Document and information transfer (22 CFR 216.2(c)(2)(v)),
- Studies, projects or programs intended to develop the capability of recipient countries
 to engage in development planning, except to the extent designed to result in
 activities directly affecting the environment (such as construction of facilities, etc.)
 (22 CFR 216.2(c)(2)(xiv)), and
- All activities which involve the application of design criteria or standards developed and approved by USAID (22 CFR 216.2(c)(2)(xv)).
- b) Negative Determination with Conditions for activities when following normal good practices, engineering methods, and standard instructions will help avoid potential environmental problems (Section 3 of Table I). This includes procurement of testing equipment, computers and other electric and electronic equipment, commodities and materials. The proposed action is that the Implementer should provide evidence that equipment and materials are procured from certified retailers; environmental safety and quality certificates conforming to national and/or international standards are available; equipment and materials are used in an environmentally sound and safe manner consistent with best management practices according to the standards of the Government of India or, in their absence, those of the USG, the European Union or equivalent standards, International and best practices.
- c) Negative Determination with Conditions for activities that have a potential for an adverse impact on the natural or physical environment. The originator of the action has determined, in accordance with 22 CFR 216.2(d)(2), that the deployment subcomponent of the Sustainable Landscape elements which includes filed testing methodologies and model may have the potential for minor to moderate adverse environmental impacts (Section 3 of Table). For each of these activities, the Implementer will conduct an Environmental Due Diligence (EDD) using various environmental checklists to review and document existing environmental concerns and foreseeable environmental effects resulting from a field testing activity and develop an Environmental Mitigation and Monitoring Plan (EMMP). This EMMP will then be approved by the MEO, in consultation with the REA/Asia. If EDD results in a finding that there is a potential for significant adverse effects, a Scoping Statement (SS) and Environmental Assessment (EA) will be done by the implementer prior to start of activities. Terms of Reference (TOR) for Scoping Statement and EA Report must be reviewed by MEO and approved by Asia BEO. All implementing partners have to develop an Environmental Checklist to screen their activities prior to implementation.

1. BACKGROUND AND ACTIVITY DESCRIPTION

1.1 Purpose and scope of IEE

Pursuant to 22 CFR 216.2(a), environmental analysis/evaluation is required for new projects, programs, or activities authorized by USAID. The attached information describes activities to be developed under USAID/India's Partnership for Land Use Science (Forest-PLUS) Program.

The 5-year (FY 2010-2014), \$25 million Forest-PLUS program proposes to carry forward the US-India partnership on climate change, with interventions that target land use and forestry. The overall objective of Forest-PLUS is to support and strengthen the elements of the "Green India Mission", and accelerate India's transition to a high performing, low emissions, and energy secure economy. The Project will achieve its results through two components:

- (a) Sustainable Landscapes increase sequestration of carbon through forests,
- (b) Low Carbon Growth Strategy enhance climate resilient, GHG mitigation planning and programs.

1.2 Background

India is the fourth-largest GHG emitter in the world, and has the second-fastest growing economy after China. Emissions could grow astronomically, due to projections that the Indian middle class will grow from 50 million people today, to 500 million over the next few decades.

In June 2010, USAID/India financed an assessment of opportunities and challenges related to the role of increasing forest carbon stocks in India, in order to decide how to program new REDD+ funding. The assessment team worked closely with the Ministry of Environment and Forests (MoEF), to document and address opportunities to engage in India's forestry sector. The recommendations from the assessment were then synthesized and developed into the new Forest-PLUS Program, which will be overseen by USAID.

1.3 Description of Activities

The Forest-PLUS program will leverage technical expertise from other USG agencies, and collaborate in a "whole of government" approach that will bring technical input to bear on highly complex, climate change issues.

The **first component** of Forest-PLUS will work on 'sustainable landscapes', including activities aimed at, "reducing emissions from deforestation and forest degradation and enhanced sequestration, through afforestation, conservation and sustainable management of forests." This component is divided into subcomponents: (a) research and design, and (b) deployment.

The research and design subcomponent will entail collaborative US-Indian scientific research on methodologies and models for: (a) improving management practices for ecosystem services and sequestration, (b) conducting carbon inventories and creating reference baselines, and (c) analyzing social and economic incentives to help reduce and sequester GHG emissions.

The deployment subcomponent will entail field testing the methodologies and models to determine their scalability and effectiveness. Stakeholders will be given opportunities to engage in dialogues to provide feedback. This will increase awareness about climate change and the methods that can address it, and build a constituency for REDD+ in India.

The **second component** of Forest-PLUS will work on the 'Low Carbon Growth Strategy'. This entails helping the GOI plan and implement GHG mitigation programs through technical, analytic, and institutional capacity building support. This component will help create an enabling environment with strengthened policy and planning for integrated GHG mitigation. This component will be co-funded between PACE-D and Forest-PLUS. This is also covered in the IEE of PACE-D.

1.4 Locations Affected

National policy actions affect the entire nation. The locations where the pilot forestry activities will be implemented shall be determined at a later date, in collaboration with MoEF. Screening, eligibility and selection criteria will be developed.

2. RECOMMENDED THRESHOLD DECISIONS AND MITIGATION ACTIONS

2.1 Recommended Threshold Decisions and Conditions

- a) Recommended Action: Categorical Exclusion: Pursuant to 22 CFR 216.2(c)(2)(i), the originator of the activities has determined that "core" program activities under all Program's components (Section 1 and 2 of Table), which includes technical assistance, training, analyses and studies, information dissemination, and other similar types of environmentally neutral actions consist of types of interventions entirely within the categories listed in 216.2(c)(2) and are therefore recommended to be categorically excluded by falling under the following classes of actions:
- Controlled experimentation exclusively for the purpose of research and field evaluation which are confined to small areas and carefully monitored (22 CFR 216.2(c)(2)(ii));
- Analyses, studies, academic or research workshops and meetings (22 CFR 216.2(c)(2)(iii));
- Document and information transfer (22 CFR 216.2(c)(2)(v)),
- Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.) (22 CFR 216.2(c)(2)(xiv)), and
- All activities which involve the application of design criteria or standards developed and approved by USAID (22 CFR 216.2(c)(2)(xv)).
- b) Negative Determination with Conditions for activities when following normal good practices, engineering methods, and standard instructions will help avoid potential environmental problems (Section 3 of Table I). This includes procurement of testing equipment, computers and other electric and electronic equipment, commodities and materials. The proposed action is that the Implementer should provide evidence that

equipment and materials are procured from certified retailers; environmental safety and quality certificates conforming to national and/or international standards are available; equipment and materials are used in an environmentally sound and safe manner consistent with best management practices according to the standards of the Government of India or, in their absence, those of the USG, the European Union or equivalent standards, International and best practices.

c) Negative Determination with Conditions for activities that have a potential for an adverse impact on the natural or physical environment. The originator of the action has determined, in accordance with 22 CFR 216.2(d)(2), that the deployment subcomponent of the Sustainable Landscape elements which includes filed testing methodologies and model may have the potential for minor to moderate adverse environmental impacts (Section 3 of Table). For each of these activities, the Implementer will conduct an Environmental Due Diligence (EDD) using various environmental checklists to review and document existing environmental concerns and foreseeable environmental effects resulting from a field testing activity and develop an Environmental Mitigation and Monitoring Plan (EMMP). This EMMP will then be approved by the MEO, in consultation with the REA/Asia. If EDD results in a finding that there is a potential for significant adverse effects, a Scoping Statement (SS) and Environmental Assessment (EA) will be done by the implementer prior to start of activities. Terms of Reference (TOR) for Scoping Statement and EA Report must be reviewed by MEO and approved by Asia BEO. All implementing partners have to develop an Environmental Checklist to screen their activities prior to implementation.

The table below addresses all the activities according to Reg. 216 requirements and

recommends Threshold Decisions and environmental compliance actions.

No	Components and Activities	Effect on Natural or Physical Environment	Threshold Decisions and Reg. 216 actions required	
I	Component 1 - Sustainable Landscapes, design subcomponent: Collaborative US-Indian scientific research on methodologies and models for: (a) improving management practices for ecosystem services and sequestration, (b) conducting carbon inventories and creating reference baselines, and (c) analyzing social and economic incentives to help reduce and sequester GHG emissions.	Environment No effect	Categorical Exclusion, no actions required	
II	Component 2 - Low Carbon Growth Strategy Help the GOI plan and implement GHG mitigation programs through technical,	No effect	Categorical Exclusion, no actions required	

¹ Low Carbon Growth Strategy is also covered under the IEE of PACE-D as it will be also receive funding under that program

	analytic, and institutional capacity building support. This component will help create an enabling environment with strengthened policy and planning for integrated GHG mitigation.		
III	Component 1 - Sustainable Landscapes, deployment subcomponent: • Field testing methodologies and models to determine their scalability and effectiveness.	Potential for adverse impact	Negative Determination with conditions The activity can go forward after the implementer develops screening, eligibility and selection criteria to be reviewed and approved by the MEO in consultation with REA/Asia.
	• Equipment	Insignificant effect	Negative Determination with conditions The implementer will ensure that all equipment, commodities, and materials are procured from certified retailers; environmental safety and quality certificates conforming with national and/or international standards are available; equipment and materials are used in an environmentally sound and safe manner; are properly disposed of, when applicable, at the end of their useful life in a manner consistent with best management practices according to Indian standards or, in their absence, USG, European Union or equivalent standards.

2.2 Mitigation, Monitoring, and Evaluation

Specific Responsibilities

COTRs/AOTRs (Contract or Assistance Agreement Officer Technical Representative) or Activity Managers will make sure environmental conditions set forth in this IEE are met and that this IEE is incorporated into the relevant implementing instruments. In addition, the COTR/AOTR/Activity managers will ensure that appropriate environmental guidelines are followed, mitigation measures in the IEE are implemented, and that adequate monitoring and evaluation protocols are in place to ensure implementation of mitigation measures.

The Strategic Objective (SO) Team will ensure that environmental compliance language from the IEE is translated into procurement documents and contracts.

The Mission Environmental Officer (MEO) will review environmental compliance documentation, and review and approve Environmental Checklists and Environmental Mitigation and Monitoring Plans (EMMPs). The MEO will conduct spot checks to ensure that conditions in the IEE are met. The evaluations will review whether guidelines are properly used to implement activities under this IEE in an environmental sound and sustainable manner according to the Indian and USAID policies and regulations.

The implementing **contractor or partner** will ensure that all activities conducted under this program comply with the conditions established in this IEE, including environmental screening using an approved Environmental Checklist, developing and implementing an EMMP, including mitigation activities in work plans and PMPs. Implementers will notify USAID if activities are found to have unintended consequences or mitigation measures are ineffective.

Activities that are not in compliance with approved environmental documentation will be modified or terminated. If activities are found to have unintended negative consequences or mitigation measures are not effective, then activities need to be modified and/or mitigation measures need to be modified. An amended IEE will be prepared if:

- · Funding levels are increased
- · Time period are ex tended
- Additional activities outside the described scope of work are added.

Implementer Procedures:

- All components' activities will seek to raise environmental awareness, promote regional and national environmentally and socially sustainable development, biodiversity conservation, adaptation to climate change, foster the culture of environmental compliance and governance
- The Implementer will include environment compliance considerations into all aspects of the program implementation and will promote and train local counterparts on environmental requirements and standards across all of the components' activities.

Each activity should be conducted in a manner consistent with good design and implementation practices described in USAID *Environmental Guidelines for Small-Scale Activities in Africa*, 2nd edition as provided at:

http://www.encapafrica.org/egssaa.htm; IFC Environmental, Health and Safety Guidelines as provided at:

http://www.ifc.org/ifcext/sustainability.nsf/Content/EnvironmentalGuidelines, and the *World Bank 1999 Pollution Prevention and Abatement Handbook(PPAH)* as provided at: http://www-

wds.worldbank.org/external/default/main?pagePK=64193027&piPK=64187937&th eSitePK=523679&menuPK=64187510&searchMenuPK=64187283&siteName=W DS&entityID=000094946 99040905052283 and http://www-

wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/1999/06/03/000 094946 99040905052283/Rendered/PDF/multi0page;

- The Implementer will use the Environmental Review and Assessment Checklists and Leopold Matrix as a reporting document for each activity having potentially moderate and high adverse environmental impact.
- Prior to the launch of each (pilot) activity having a potential for moderate and high adverse environmental impact, the Implementer will conduct an Environmental Due Diligence using various environmental checklists to review & document existing environmental concerns and foreseeable environmental effects resulting from a (pilot) activity. If the EDD results in a finding of potential significant environmental impact, a Scoping Statement (SS) and Environmental Assessment (EA) will be done by the implementer prior to start of activities. Terms of Reference (TOR) for Scoping Statement and EA Report must be reviewed by MEO and approved by Asia BEO.
- Based on EDD results and mitigation measures from Environmental Guidelines for Small-scale Activities, IFC EHS Guidelines, World Bank PPAH, etc. as referenced above, implementer will develop Environmental Mitigation and Monitoring Plan (EMMP) for each type/class of expected activities when applicable. The EMMP will then be approved by the MEO, in consultation with the Regional Environmental Advisor for Asia (REA/Asia), incorporated in project design and EMMP will be adapted to a specific site prior to the activity implementation (EMMP).
- The implementer will have a qualified, MEO-approved environmental impact professional(s) (EIP) who will assess and recommend environmental actions to be taken by the program and will coordinate implementation of mitigation measures, monitoring, and reporting. EIP will conduct environmental reviews and will identify: 1) activity category in consultation with the MEO); 2) potential environmental impacts (based on EAL, EDD, Leopold Matrix, and his/her technical knowledge of the local, U.S., and international environmental standards, guidelines, requirements, and practices; and 3) mitigation and monitoring measures needed. Should EIP lack any special technical knowledge to identify any special environmental impact, the Implementer will consult with a specialist in the relevant area.
- Environmental, Occupational Health and Safety (OHS) and other relevant laws and regulations, standards, norms of India and best practices for environmental protection and management will be followed in implementing the activities. The Implementer(s) will ensure compliance by its staff, subcontractors, and sub-grantees with USAID regulations, policies, procedures, and acceptable best practice as well as compliance with applicable national environmental legislations.
- For activities categorized as "potential risks" or "definite risks" of adverse environmental impact, the Implementer will be required to obtain a letter from the local or regional office for environmental protection stating that the office: a) has been contacted by the Implementer concerning the project activities; b) will maintain contact with the project; and c) will be aware of the potential environmental impacts of the project to help ensure that no detrimental impact will result from this project.

- For such activities prior to their implementation the Implementer will conduct public consultations and will seek concurrence from the national duly authorized environmental agency on EMMPs.
- Monitoring will be conducted during the project (beginning with baseline conditions) to determine the environmental impact (positive and/or negative) of project activities. The Implementer shall use only qualified staff for overseeing the mitigation and monitoring work. Monitoring shall occur on an as-needed basis. The Implementer will ensure that the environmental procedures are implemented, potential impacts mitigated, and indirect and cumulative effects are considered for each activity. If negative environmental impacts are discovered through regular monitoring and evaluation of project activities, immediate actions will be taken to rectify the situation.

Resource Allocation, Training and Reporting requirements:

The contract or other relevant implementing instrument with the Implementer will include a requirement to follow all recommendations of this IEE. The Implementer will be responsible for training his staff, grantees, subcontractors, and counterparts on the contract's environmental requirements and for ensuring their compliance with these requirements.

Implementer shall have sufficient permanent staff with expertise in an environmental field and compliance and resources to implement and report on the expected scope of environmental compliance work.

The Implementer will have the following documentation and reporting requirements associated with the environmental compliance:

- Annual Work Plans will have a section on the planned activities related to environmental compliance.
- EMMP and EDD reports as described above will be developed by the Implementer and approved by USAID prior to the launch of each activity having an adverse impact on physical and natural environment.
- Progress Reports will have a section on the status of activities related to
 environmental compliance and results, including project summaries along with
 environmental impacts, success or failure of mitigation measures being
 implemented, results of environmental monitoring, and any major
 modifications/revisions to the project. If the activities implemented do not have any
 negative impact on the environment, this should be documented as well.
- For activities having adverse environmental impact, progress reports should include Environmental Review Reports for each activity and affected site
- Implementer's annual report will include an annex containing a table indicating the title, date of award, and category of each grant activity, and status of mitigation measures and monitoring results, when applicable.

- Final Report will have a section that will summarize program activities related to environmental compliance and will describe results, including information on any positive or negative environmental effects of program activities.
- Site specific Mitigation and Monitoring Reports will be submitted to USAID at the
 completion of each relevant activity at every affected project site, and not on an
 annual basis. Reporting will include photographic documentation and site visit
 reports which fully document that all proposed mitigation procedures were followed
 throughout implementation of the subject work including quantification of
 mitigation. All such reports and documentation will be submitted to the Contracting
 Officer Technical Representative (COTR) and the MEO.

Limitations of the IEE

This IEE does not cover activities involving:

- Assistance for the procurement, use or recommendation for use of pesticides or activities involving procurement, transport, use, storage, or disposal of toxic materials.
- Activities involving support to wood processing, agro-processing, industrial enterprises, and regulatory permitting.
- Assistance, procurement or use of genetically modified organisms (GMOs).
- DCA/ GDA
- Procurement or use of Asbestos Containing Materials (ACM), PCB containing transformers, or other hazardous/toxic materials for construction projects.

Any of these actions would require an amendment to the IEE duly approved by the Asia BEO.

Revisions

Pursuant to 22 CFR 216.3(a)(9), if new information becomes available which indicates that activities to be funded by the Project might be "major" and the Program's effect "significant", this determination will be reviewed and revised by the originator of the project and submitted to the Asia Bureau Environmental Officer for approval and, if appropriate, an environmental assessment will be prepared.

APPROVAL OF ENVIRONMENTAL ACTION RECOMMENDED

Clearances:			
Activity Manager:	Jeremy Gustafson	Date:	17 SEP 2010
Mission Environmental Officer	Monali Zeya Hazra	Date:	lef 17,2010
Regional Environmental Adviser for Asia	Andrei Barannik	Date:	
Regional Legal Advisor:	Patricia Ramsey	lil Date:	9/17/2010
Deputy Mission Director:	Elizabeth Warfield . Harfold	Date:	9/17/2010
Mission Director:	Erin Soto	Date:	9/17/2010
Concurrence:			
Bureau Environmental Officer:	Jac O Was-	Date:	9/17/10